

**JUROR QUESTIONNAIRE FOR**  
**UNITED STATES v. SUNG KOOK (BILL) HWANG and PATRICK HALLIGAN**

***PLEASE PRINT LEGIBLY - PLEASE USE ONLY BLUE OR BLACK INK***

**Instructions**

The purpose of this questionnaire is to provide information to the attorneys in this case—both the prosecutors and the defense attorneys—so that they can determine whether you can be a fair and impartial juror. You are expected to give true and complete answers to every question.

Where indicated, please check the space for “Yes” or “No” and, as requested, furnish answers, explanations, and/or details in the spaces provided. Please print your answers in blue or black ink. Please do not leave any questions unanswered. If you do not understand a particular question or do not know the answer, please write either “I do not understand,” or “I do not know” in the space provided for the answer. If there is not enough space for you to complete the answer to a question, please continue your answer in the margin next to the question or in the space provided at the end of the questionnaire. Do not write on the back of any page of the questionnaire. If you feel that a question does not apply to you, please write “N/A” in the space provided for the answer.

When you return to court, the Judge and/or the attorneys may ask specific questions about some of the information you provided in the questionnaire. When these follow-up questions are asked, if there are any matters that you do not wish to discuss in open court, please indicate that on the questionnaire where asked about your wish for privacy and the Judge will make arrangements for you to discuss these matters privately.

All of your responses will remain completely confidential. Do not discuss the questions or answers with anyone, including your fellow jurors. It is extremely important that your answers be your own individual answers.

## JUROR QUESTIONNAIRE

### **Background**

1. Name: \_\_\_\_\_ Juror No. \_\_\_\_\_
2. Age: \_\_\_\_\_
3. Gender: \_\_\_\_\_
4. County of Residence: \_\_\_\_\_ 5. Years there: \_\_\_\_\_
6. City or Neighborhood of Residence \_\_\_\_\_
7. Years there: \_\_\_\_\_
8. Marital status: **[CHECK ONE]**  
☐ Single    ☐ Married    ☐ Live with partner  
☐ Widowed    ☐ Divorced/Separated
9. Do you have any children? If they are grown, what do they do?  
\_\_\_\_\_  
\_\_\_\_\_
10. How far did you go in school? [check one]  
☐ Attended high school  
☐ Graduated from high school  
☐ Took some college classes/attended trade school  
☐ Received an associate's degree \_\_\_\_\_ (area)  
☐ Received a college degree \_\_\_\_\_ (major)  
☐ Took graduate courses \_\_\_\_\_ (area)  
☐ Received a graduate degree \_\_\_\_\_ (degree/area)
11. Please list any professional licenses or educational certifications you have received: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. What is your current employment status?

- ☐ Working full-time
- ☐ Working part-time
- ☐ Self-employed
- ☐ Retired
- ☐ Unemployed
- ☐ Homemaker
- ☐ Disabled
- ☐ Student

13. Please list your current employer, position and number of years there. If you are not currently employed, provide this information for your most recent employment.

<u>Employer</u>	<u>Position</u>	<u>Yrs at Job</u>
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_____	_____	_____
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14. What are your responsibilities at your current job (or most recent, if not currently working)?

\_\_\_\_\_

\_\_\_\_\_

15. What types of jobs have you had over the course of your working life?

\_\_\_\_\_

\_\_\_\_\_

16. Have you ever owned your own business? ☐ Yes ☐ No

If yes, please explain, including for how long and the nature of the business:\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. Do you now or have you ever supervised other people at work?

- ☐ Yes, 1-4 people    ☐ Yes, 5-10 people    ☐ Yes, over 10 people    ☐ No

18. If currently married or living with a partner, what is your spouse/partner's education and occupation?

\_\_\_\_\_

\_\_\_\_\_

19. Do you own your home, rent or live with family or friends?

☐ Own

☐ Rent

☐ Live with Family/Friends

20. Please list any groups and/or organizations to which you belong and any leadership positions you hold in each, including religious, social, charitable, political and professional associations:

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21. What are your hobbies or special interests, or how do you like to spend your free time?

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22. What are your main sources of news? Please specify newspapers, news networks, news shows or internet news sites that you read or watch regularly:

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23. Please list any (non-news) magazines/periodicals that you read and/or websites that you visit regularly:

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24. What social media platforms do you use, if any?

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25. Please list any television shows (including the news) that you watch on a regular basis:

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26. Please indicate your prior service as a juror: **[CHECK ALL THAT APPLY]**

- ☐ Juror in criminal case in federal or state court
- ☐ Juror in civil case in federal or state court
- ☐ Member of a grand jury in federal or state court
- ☐ None

27. If you have any type of prior service as a juror, is there anything about your previous experience(s) that would make you want to serve or not serve on a jury again?

☐ Yes      ☐ No

If yes, please explain:

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28. How much education, training, or work or other experience do you have in each of the following areas? **[CHECK THE BOXES AS THEY APPLY AND EXPLAIN BELOW]**

	<u>A lot</u>	<u>Some</u>	<u>A little</u>	<u>None</u>
Finance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Banking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investment Banking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lending	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Securities/Investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accounting/Auditing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Development/Sales	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please Explain: \_\_\_\_\_

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29. Do you follow news about the stock market and its ups and downs?

☐ Yes, regularly      ☐ Yes, but not regularly      ☐ No

30. Have you ever invested money in the stock market?

☐ Yes, currently invested      ☐ Yes, in past but not now      ☐ No, never

31. Do you have any strong positive or negative opinions about the stock market generally or wealthy investors specifically?

☐ Yes      ☐ No

If yes, please explain:

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32. Do you have any strong opinions about securities laws or the regulation of the stock market and investors?

☐ Yes      ☐ No

If yes, please explain:

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33. Have you or a family member ever made or lost so much money on investments that it changed your lifestyle or future retirement plans?

☐ Yes, made money      ☐ Yes, lost money      ☐ Yes, both      ☐ No

34. Have you ever relied on someone else to make decisions about what stocks you buy or sell?

☐ Yes      ☐ No

If yes, who? (e.g., financial advisor, family member, etc.) \_\_\_\_\_

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35. Have you, a family member or close friend ever had a dispute with an investment professional or anyone else you relied on to make investment decisions?

☐ Yes, self    ☐ Yes, family member/friend    ☐ Yes, both    ☐ No

If yes, please explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

36. Have you, a family member or close friend ever worked for any state or federal agency that regulates the stock or financial markets, such as the Securities and Exchange Commission, Financial Industry Regulatory Authority (FINRA), the Federal Deposit Insurance Corporation (FDIC), etc.

☐ Yes, self    ☐ Yes, family member/friend    ☐ Yes, both    ☐ No

If yes, please explain: \_\_\_\_\_

\_\_\_\_\_

37. Have you, a family member or close friend ever been a victim of fraud or any other type of financial crime?

☐ Yes, self    ☐ Yes, family member/friend    ☐ Yes, both    ☐ No

If yes, please explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

38. Have you or any member of your family ever been a victim of any other kind of crime?

☐ Yes, self    ☐ Yes, family member    ☐ No

If yes, please explain:

\_\_\_\_\_

\_\_\_\_\_

39. Have you or has any member of your immediate family ever been arrested or charged with a crime?

☐ Yes      ☐ Yes, family member      ☐ No

If yes, please explain:

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40. Have you or has any member of your immediate family been convicted of a crime or pled guilty to a crime other than routine traffic violations?

☐ Yes      ☐ Yes, family member      ☐ No

If yes, please explain:

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41. Have you ever participated in a criminal case in any of the ways described below?  
**[CHECK ALL THAT APPLY]**

- ☐ Complainant
- ☐ Defendant
- ☐ Witness for the prosecution
- ☐ Witness for the defense
- ☐ Any other capacity
- ☐ No, none of the above

Please Explain: \_\_\_\_\_

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42. Have you, a family member or close friend ever worked in law enforcement?

☐ Yes, self      ☐ Yes, family member/friend      ☐ No

If yes, please explain: \_\_\_\_\_

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43. Have you ever applied for a job in law enforcement or plan to apply for a job in law enforcement?

☐ Yes ☐ No

If yes, please explain:\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

44. Have you ever served in any branch of the military?

☐ Yes ☐ No

If yes, please explain, including which branch, for how long and rank at discharge:\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

45. Have you ever worked as an employee of the U.S. Government in any capacity?

☐ Yes ☐ No

If yes, please indicate which Department you are/were in and what your job is/was:

\_\_\_\_\_

\_\_\_\_\_

46. Have you ever worked as part of the criminal justice system, e.g. judge, court personnel, probation officer, correction officer, etc.? This could include a Federal, state or local position.

☐ Yes ☐ No

If yes, please describe what you do/did:

\_\_\_\_\_

\_\_\_\_\_

47. Have you ever had any training or work experience in the law, for example, as a lawyer, judge, U. S. Attorney, paralegal, legal secretary, court reporter, or any other position in a law-related field?

☐ Yes ☐ No

If yes, please describe what you do/did:

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48. Have you ever brought any claims or lawsuits against any federal, state, or local government employee or agency?

☐ Yes ☐ No

If yes, please explain and indicate the outcome:

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49. Have you, or any member of your family or close friends, been involved in a lawsuit of any kind before?

☐ Yes ☐ No

If yes, please explain and indicate the outcome:

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50. Do you know anyone who works for the U.S. Department of Justice, or any of its components, such as the U.S. Attorney's Office?

☐ Yes ☐ No

If yes, whom do you know, and where does this person work? \_\_\_\_\_

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51. Some of the witnesses in this case will be federal agents or other law enforcement officials. Would you tend to believe their testimony more than, the same as or less than that of an ordinary citizen?

- ☐ Believe their testimony **more than** an ordinary citizen  
☐ Believe their testimony **the same as** an ordinary citizen  
☐ Believe their testimony **less than** an ordinary citizen

52. Some of the witnesses in this case may be cooperating witnesses – those who plead guilty to a crime and testify against a defendant in the hope that they will receive more lenient treatment by the government. Do you have any feelings about cooperating witnesses that would affect your ability to be fair and impartial in this case?

☐ Yes

☐ No

If yes, please explain:

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**Knowledge of the Trial Participants**

53. Do you or does anyone close to you personally know Sung Kook ‘Bill’ Hwang or Patrick Halligan, the individuals on trial, or any of their family members?

☐ Yes

☐ No

If Yes, please explain how you personally know Mr. Hwang or Mr. Halligan, or any members of their family:

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54. Do you have any favorable or unfavorable opinions about prosecutors that might affect your ability to be a fair and impartial juror in this case?

☐ Yes, I tend to think favorably of prosecutors

☐ Yes, I tend to think unfavorably of prosecutors

☐ No, I have no particular opinions either way

55. Do you personally know any of the people who are prosecuting this case?

[INSERT LIST]

If you checked any of the names above, please explain:

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56. Do you have any favorable or unfavorable opinions about criminal defense attorneys that might affect your ability to be a fair and impartial juror in this case?

- ☐ Yes, I tend to think favorably of defense attorneys  
☐ Yes, I tend to think unfavorably of defense attorneys  
☐ No, I have no particular opinions either way

57. Do you personally know any of the attorneys for the defense?

\_\_\_ Michelle Ben-David  
\_\_\_ Barry Berke  
\_\_\_ Dayna Chikamoto  
\_\_\_ Jordan Estes  
\_\_\_ Dani James  
\_\_\_ Michael Martinez  
\_\_\_ Shaked Sivan

\_\_\_ Bonnie Baker  
\_\_\_ Rupita Chakraborty  
\_\_\_ Mary Mulligan  
\_\_\_ Timothy Haggerty  
\_\_\_ Anil Vassanji

If you checked any of the names above, please explain:

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58. The judge presiding in this case is U.S. District Court Judge Alvin Hellerstein. Do you or does anyone close to you know Judge Hellerstein or any judge or court personnel in the federal or local courts?

- ☐ Yes ☐ No

If Yes, whom do you know and how do you know them?

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59. This trial will deal in part with the entities listed below. Do you know anything about any of them or have you had any dealings with them?

[INSERT LIST]

☐ Yes ☐ No

If you checked any of the names above, please explain.

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60. Please review the list attached to this questionnaire that provides the names of persons whom you may hear about during the trial. Do you know or have any connection with the individuals listed?

[INSERT LIST]

☐ Yes ☐ No

If Yes, please explain how you know or recognize the individual(s) and describe your opinion of them:

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### **Knowledge of This Case/Reactions to Issues**

It is possible that you have heard and/or read something about the case at some time. There is nothing wrong with having heard/read something about this case. It is important that you truthfully and fully answer the following questions concerning your knowledge about this case through the media or any other source.

61. Before today, had you heard or read anything, either through word of mouth or in the news media, about charges being brought against Bill Hwang or Patrick Halligan?

☐ Yes ☐ No

If Yes, please describe what you have heard or read.

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61a. If Yes, how closely have you followed the case brought against Bill Hwang and Patrick Halligan?

- ☐ Very closely
- ☐ Somewhat closely
- ☐ I have heard of the case but I have not been following it
- ☐ Not at all

61b. If Yes, from what news sources did you learn about this case?

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61c. If Yes, what thoughts or opinions did you have concerning this case before coming here today, if any?

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62. How closely, if at all, have you followed news about other cases involving allegations of securities fraud or illegality in the stock market?

- ☐ Very closely
- ☐ Somewhat closely
- ☐ Not very closely
- ☐ Not closely at all

63. If you have followed other cases to any extent, have you formed any opinions that would prevent you from being a fair and impartial juror in this case?

- ☐ Yes                      ☐ No

If yes, please explain:

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64. Mr. Hwang and Mr. Halligan are charged with conspiracy to violate the Racketeer Influenced and Corrupt Organizations Act and with violating U.S. securities laws. They have pleaded not guilty to these charges, and they are therefore presumed innocent unless proven guilty. Have you formed any opinions about Mr. Hwang or Mr. Halligan that would prevent you from being a fair and impartial juror in this case?

☐ Yes ☐ No

If yes, please explain:

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65. As you have read, this case involves allegations related to securities trading. Is there anything about that subject matter that would prevent you from being a fair and impartial juror in this case?

☐ Yes ☐ No

If yes, please explain:

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66. Do you have any feelings (either positive or negative) about financial institutions?

☐ Yes ☐ No

If yes, please explain:

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67. Do you have any moral, religious, or ethical beliefs that prevent you from sitting in judgment of another person?

☐ Yes ☐ No

If yes, please explain:

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68. The Court will instruct you that you may draw no inference against the defendant from the fact that he has been indicted. Would you have any difficulty following the Court's instructions on this point?

☐ Yes

☐ No

If yes, please explain:

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69. Is it possible that the Government could charge someone with a serious offense and that person is Not Guilty? Do you believe completely innocent people can be wrongly accused?

☐ Yes

☐ No

70. Under the United States Constitution, a person accused of a crime does not have to testify in his defense or present any witnesses and his silence may not be used against him. Can you follow this constitutional requirement?

☐ Yes

☐ No

If yes, please explain:

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71. Do you have a problem with the concept that the defendant must be presumed innocent and the government must prove the guilt of the defendant beyond a reasonable doubt? *(The Court will give specific instructions concerning reasonable doubt if you are selected as a juror.)*

☐ Yes

☐ No

72. This trial is scheduled to begin February 20 and is expected to last about xxx weeks. Is there an important reason why you could not serve on a jury for this period of time?

☐ Yes

☐ No

If yes, please explain:

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### **Personal Concerns**

73. Is there anything (e.g. health, job, family obligations, etc.) that would interfere with your ability to serve as a juror in this case?

☐ Yes      ☐ No

If yes, please explain:

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74. Do you have any difficulty with your eyesight or hearing?

☐ Yes      ☐ No

If Yes, please explain:

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75. Do you have any difficulty reading or understanding the English language?

☐ Yes      ☐ No

76. Is there anything in your personal experience or anything about your beliefs or values, that has not been covered in this questionnaire but which might affect your ability to judge the facts and provide a fair verdict in a case that deals with an accusation of insider trading?

☐ Yes      ☐ No

If Yes, what are those issues?

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77. Is there anything else that you think the judge or parties should know about you?

☐ Yes      ☐ No

If yes, please explain:

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78. Are there any questions that you would prefer to discuss privately? If so, please indicate the question numbers here:

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### **Court Order**

You are ordered by the Court not to seek out, read, or research information about Bill Hwang or Patrick Halligan, the Defendants in this case, or the charges against them, including Internet research. You must also refrain from (1) listening to or viewing any radio or television show that may reference Bill Hwang or Patrick Halligan; and (2) avoid reading or viewing any newspaper articles, online reports, or social media that may reference Bill Hwang or Patrick Halligan.

When you return to the courthouse for jury selection, you will be questioned under oath about your compliance with the above instructions. You are expected to advise the Judge as soon as you become aware of any juror's violation of these instructions, whether before or during the trial.

I hereby declare under penalty of perjury that the foregoing answers set forth in the juror questionnaire are true and correct to the best of my knowledge and belief. I have not discussed any answers with others or received assistance in completing the questionnaire. I have answered all of the above questions in this jury questionnaire myself.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2024.

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Signature

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Print Name

[illegible]